

(Rev. 09/10/2015)

# **Modified Standard Request for Qualifications**

**(Electronic Submission Required)**

Environmental Impact Statement



Project No. S-R199(185)  
SR-30; Environmental Document, ~~I-15~~ SR-23 to SR-252

**Addendum 3**  
~~November 16~~ December 1, 2015

UTAH DEPARTMENT OF TRANSPORTATION

Streamlined Request for Qualifications

Project No. S-R199(185) & SR-30; Environmental Document, ~~I-15~~SR-23 to SR-252

Summary Sheet

1. **Project Number:** S-R199(185)
2. **Location:** SR-30; Environmental Document, ~~SR-23~~SR-23 to SR-252
3. **ePM PIN No.:** 13224
4. **Requested Services:** Environmental Impact Statement
5. **Source(s) of Funding:** Federal
6. **UDOT Contract Administrator:** Mr. Devon Tonks  
Contract Administrator  
Utah Department of Transportation  
Consultant Services Division  
Box 148490  
4501 South 2700 West  
Salt Lake City, Utah 84129-5998  
801/965-4184  
[dtonks@utah.gov](mailto:dtonks@utah.gov)
7. **UDOT Project Management:** Rodney Terry  
Project Manager  
Utah Department of Transportation  
Region 1  
166 W Southwell Street  
Ogden, Utah 84404  
801/620-1686  
[rodterry@utah.gov](mailto:rodterry@utah.gov)
8. **Communications:** Based on revisions to Utah Code 63G-6a-1503(3), UDOT has an official process for communication regarding RFQs after advertisement or posting of RFQs. Consultants may not contact or communicate regarding this RFQ with any member or potential member of a Selection Team except through the following official RFQ communication process. Consultants may contact the UDOT Contract Administrator to schedule appointments for project or scope of work discussions with the UDOT Project Manager (and Local Government Project Manager) regarding this project. Consultants may only communicate through these official designated appointments. A date has been designated for appointments for these discussions, see the Selection Schedule below.

Consultants may still contact the UDOT Contract Administrator or other Consultant Services staff regarding the selection process.

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9. **Modified Standard Statement of Qualifications (SOQ) Deadline:** See the Selection Schedule on Page 4

Submit one electronic PDF file of the SOQ (unless directed otherwise in Appendix A *Guidelines for Preparing Modified Standard Statement of Qualifications*) to Devon Tonks by email at [dtunks@utah.gov](mailto:dtunks@utah.gov) prior to 11:00 AM on the submission date found in the Selection Schedule on Page 4. **If SOQs are sent to RFQ Selection Team members there will be a two-point deduction.** You will receive an email acknowledgment of receipt.

**SOQs will not be accepted after the 11:00 AM deadline**

10. **Qualification Based Selection:** This is a Qualifications Based Selection (QBS) process based on the Brooks Act. Cost is NOT a factor in the ranking of consultants to provide the services described in Appendix C *Scope of Work* on Page 21. Refer to Page 7 for additional information regarding the consultant selection process. The Brooks Act can be found on Page 27.

11. **Type of SOQ Required:** Prepare SOQs in accordance with Appendix A *Guidelines for Preparing Modified Standard Statement of Qualifications*, see Page 12.

If there are any changes affecting the RFQ, notice will be sent out via an e-mail through the Consultant Services update service.

12. **Optional Oral Interviews:** RFQ selections may be based on the SOQ scores. However, the RFQ Selection Team may determine it is necessary to have interviews in order to make a selection. **Refer to the Selection Schedule on Page 4 for potential interview date.**

13. **Notice to Proceed:** To be issued by Consultant Services after contract execution. Direction to begin work from any other source is invalid and will result in non-payment for services provided without authorized notification to begin work.

14. **Project Completion:** Approximately **18** months from Notice to Proceed.

15. **Forms:** Examples of UDOT Consultant Services forms referred to throughout this RFQ are available on the UDOT Web site [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms).

16. **Updates to the UDOT RFQ Boilerplate:** Please note changes in this RFQ in regards to Conflict of Interest, Appendix A *Guidelines for Preparing Modified Standard Statement of Qualifications*, Appendix B *Proposed Key Personnel to Be Used on UDOT Project* requirements. Read and review each section carefully to ensure proposals meet the requirements.

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**Consultant Selection Schedule**

<b>Date</b>	<b>Day</b>	<b>Action</b>
11/16/15	Monday	Posting of Modified Standard RFQ on UDOT Consultant Services Project Advertisement website
11/19/15	Thursday	<b>Deadline to request a one-on-one discussion meeting</b>
11/23/15	Monday	<b>Appointments to discuss the project</b>
12/7/15	Monday	<b>SOQs are due electronically by 11:00 AM.</b>
12/14/15	Monday	RFQ Selection Team Meeting
12/22/15	Tuesday	Consultant Selection Interviews
12/23/15	Wednesday	Consultant Selection
12/28/15	Monday	Mandatory Pre-Negotiation Meeting with Selected Consultant

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### Acceptance and Completion Criteria

#### Overview:

UDOT Consultant Services staff facilitates RFQ Selection Teams through the ranking and selection of consultants to provide engineering services for transportation related projects. Consultant selection is a Qualification-Based Selection (QBS) process, where the primary factor in selection is the qualification-based criteria outlined by the RFQ Selection Team in Appendix A *Guidelines for Preparing Modified Standard Statement of Qualifications* rather than the cost of engineering services. Cost is a secondary factor after a Consultant is selected and the negotiation process begins.

The RFQ Selection Team will review and evaluate submitted SOQs. SOQs are ranked for qualifications, based on pre-determined criteria. If the RFQ Selection Team determines Consultant Selection Interviews are needed in order to determine final ranking, then interviews will be included in the process. Final ranking will be determined by the average of the RFQ Selection Team members' scores from SOQs and Consultant Selection Interviews, if necessary (see Selecting by Consent on Page 18).

UDOT follows federal regulations in selecting consultants for engineering services, based on the Brooks Act (40 U.S.C. 11) found on Page 27. Cost is **NOT** a factor in the selection ranking of a Consultant to provide services. All price/cost related items which include, but are not limited to direct salaries / wage rates, indirect cost rates, and other direct costs are prohibited from being used in SOQs. Cost control measures should not be quantified in dollar amounts, but rather in how the process improved the project.

**DO NOT** include any reference to Consultant costs in the SOQ. Any SOQ submitted with ANY discussion of cost (other than cost control measures) **WILL BE DISQUALIFIED.**

#### Project Dates:

Consultants are required to meet the dates set for the **optional** oral interviews and negotiation meetings. Consultants are also advised to meet other dates outlined in the Selection Schedule on Page 4. If a consultant fails to meet these dates the consultant will be considered non-responsive.

#### Required Percentage of Work for Prime Consultant:

The selected Consultant must perform work valued at not less than **35%** of the total work, excluding specialized services, with its own staff. Specialized services are those services or items not usually furnished by a consultant performing the particular type of services requested in Appendix C *Scope of Work*.

#### Required Completion and Acceptance Criteria:

Progress payments will be made for work in progress. Final invoice payments shall be made after all of the work has been completed and the final estimate, project records, and documentation have been received and accepted by UDOT as accurate and complete.

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#### Applicable Federal and State Requirements:

The Consultant shall conform to all applicable state and federal regulations.

#### Debarment Certification:

Federal regulations required certification by prospective participants (including contractors, sub-contractors and principals) as to current history regarding debarment, eligibility, indictments, convictions, or civil judgments. The selected Consultant will be required to certify in accordance with contract Standard Terms and Conditions.

#### Authorization to Begin Work:

Notice to proceed will be given by Consultant Services as soon as the contract is approved and signed by all parties and returned to Consultant Services.

#### Required Key Personnel Qualifications:

The Consultant shall be responsible to ensure that all personnel proposed under this RFQ are qualified through training, experience and appropriate certification for the tasks assigned and shall have a working knowledge of UDOT standard processes.

Prime Consultants cannot propose employees who are employed by another Consultant firm. **If such employees are listed in two SOQs, both Consultants' SOQs will be disqualified and will not be evaluated by the UDOT Selection Team.** This requirement applies to the use of individual employees and not to sub-consultant firms/employees. Sub-consultant firms/employees may be included on more than one proposing team, however individuals may only interview with one team.

The Consultant is expected to complete the form Appendix B *Proposed Key Personnel to be Used on UDOT Project*. Completed forms in SOQs should state the certification and education levels of the individuals proposed for use on this contract including sub-consultants' personnel. **The completed form must be included in the SOQ, but will not count as one of the allowed pages.**

UDOT's requirements for listing current or former UDOT employees as key personnel in SOQ's are as follows:

- If a firm lists a former UDOT employee on the SOQ who officially left UDOT employment prior to the date of submittal of the SOQ, the firm will not be disqualified.
- If the firm lists someone who has not yet left UDOT employment, even if the employee plans to retire or quit soon, **the firm will be disqualified.**
- In addition, if a firm lists a UDOT employee who was involved in the development of the RFQ for this project, whether they are a current employee of UDOT or not, **the firm will be disqualified.**
- These requirements apply to prime and sub-consultants.

#### Required Availability of Key Personnel:

When Consultants list personnel on Appendix B *Proposed Key Personnel to be Used on UDOT Project* form, the Consultant is agreeing to make the personnel available to complete the work on the contract at whatever level the project requires.



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#### Required Modified Standard SOQ Contents:

The SOQ from the Consultant should contain the information identified in Appendix A *Guidelines for Preparing Modified Standard Statement of Qualifications*.

#### Modified Standard SOQ Evaluation Procedures:

The RFQ Selection Team will evaluate the SOQ in accordance with the criteria described in Appendix A *Guidelines for Preparing Modified Standard Statement of Qualifications*.

#### Conditions of Proposal:

All costs related to the preparation of the SOQ and any related activities, such as interviews, are the sole responsibility of the Consultant. UDOT assumes no liability for any costs incurred by Consultants throughout the entire selection process.

#### Disposition of Modified Standard SOQs:

SOQs and their content become the property of UDOT and are treated as protected documents, and are disposed of according to UDOT policies. UDOT reserves the rights to reject all SOQs. The SOQ of the successful Consultant shall be open to public inspection for a period of one year after award of the contract. SOQs of Consultants who are not awarded a contract shall not be open to public inspection and will be destroyed once the contract is executed with another consultant.

If the Consultant selected for award has required in writing the nondisclosure of trade secrets and other proprietary data so identified, the Consultant Services Manager shall examine the request in the SOQ to determine its validity prior to award of the contract. If the parties do not agree as to the disclosure of data in the contract, the Consultant Services Manager shall inform the Consultant in writing what portion of the SOQ will be disclosed and that, unless the Consultant withdraws the SOQ, the information will be disclosed. If the Consultant withdraws their SOQ, the Consultant will not be awarded the contract.

#### Ownership of Documents:

All tracings, plans, manuscripts, specifications, data, maps, etc., prepared or obtained by the Consultant as a result of working on this contract, shall be delivered to and become the property of UDOT.

#### Financial Screening:

UDOT requires consultants to be Financially Screened prior to performing work for UDOT. The selected Consultant has two weeks after selection to complete the financial screening process. **Consultants are required to have an independent audit by a CPA firm for this RFQ. Inability to complete the financial screening process will disqualify the Consultant's SOQ, unless the delay is due to problems or delays by UDOT.**

The time it takes a Consultant to complete the Financial Screening process varies and therefore UDOT encourages Consultants to submit their *Financial Screening Application* as soon as possible.

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Consultants may obtain the *Financial Screening Application* from the UDOT Web site [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms). For questions, contact the Consultant Services Financial Screener at 801/965-4138. A Consultant's Financial Screening status is effective for the period of one year from the time the Consultant is approved.

#### Audits:

Prior to final contract award, an audit may be conducted by UDOT of the selected Consultant. This audit will be for the purpose of ensuring the selected firm is financially capable of performing the contract, the cost information and prices quoted are reasonable, and the selected Consultant has adequate accounting practices to ensure accurate tracking of contract costs. UDOT reserves the right to inspect Consultant records associated with this project, including financial records, as deemed necessary during the term of the contract.

Prior to final acceptance of the contract work, UDOT may conduct a closing audit of the Consultant. This closeout audit will be performed upon completion of the contract to verify the accuracy of all billings and compliance with the contract provisions.

In the event that a proposing Consultant has failed to pay UDOT monies due to UDOT for over payment on past projects, UDOT has the right to reject and/or disqualify the firm's SOQ. Disqualification will be based on audit findings, determinations, and recommendations made by the UDOT Fiscal Audit Division.

#### Insurance Certificates:

The Consultant is required to provide UDOT with Certificates of Insurance meeting the current guidelines. Locate current insurance requirements within the Consultant Services Manual of Instructions from the UDOT website [www.udot.utah.gov/go/csmanuals](http://www.udot.utah.gov/go/csmanuals).

#### Health Reform – Requirement for Health Insurance Coverage in State Contracts:

As required by UCA 72-6-107.5, effective July 1, 2009, UDOT will not enter into a contract of \$1,500,000 or more with a prime Consultant or \$750,000 or more with a sub-consultant without demonstration of compliance regarding the offering of "Qualified Health Insurance Coverage" to their employees. Prior to issuing a Notice to Proceed, the Consultant must demonstrate compliance with the provisions of Administrative Rule R-916-5. A Consultant's inability to adequately demonstrate compliance may be grounds for determining an SOQ non-responsive and UDOT moving on to negotiate with the new first-ranked responsive firm.

#### Subscription to the UDOT Consultant Services Update Service:

UDOT recommends Consultants interested in proposing an SOQ subscribe to the UDOT Consultant Services Update Service on the UDOT web site [www.udot.utah.gov/go/subscriptionlist](http://www.udot.utah.gov/go/subscriptionlist).

**If there are any changes affecting this RFQ, notice will be sent out via an email through the Update Service.**

#### Consultant and/or Corporate Logos or Branding:

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Consultant and/or corporate logos or branding identification may no longer be displayed in **public** documents or products produced for UDOT beginning July 1, 2005. It is UDOT's intent that consultants should place identifying information, in text format, in appropriate places in documents. **This requirement does not apply to SOQ's.** For specific questions or further guidance, please contact Gaye Hettrick, Consultant Services Manager, 801/965-4639 or [ghettrick@utah.gov](mailto:ghettrick@utah.gov).

Consultants and/or corporations are specifically restricted from placing logos or branding in the following items:

- Plan Sheets or Title Blocks
- Environmental Documents
- Standard UDOT Forms
- Project Websites
- Cover Pages
- Headers/Footers, and
- Information and Display Boards for Public Meetings

Consultants are encouraged to place their company logos or brandings in their SOQs.

#### Right to Cancel:

UDOT reserves the right to cancel the RFQ at any time when it is in UDOT's best interest. UDOT also reserves the right to accept or reject any and all SOQs submitted in response to the RFQ.

#### Conflict of Interest:

UDOT expects consultants to act with integrity and professional ethics. When there is a potential conflict of interest, consultants are required to either not submit for the project or disclose the potential conflict to the Consultant Services Manager prior to submitting a proposal. The Consultant Services Manager will coordinate with the UDOT Conflict of Interest Review Team for a determination by UDOT. For additional information, please reference the UDOT Consultant Services Manual of Instruction (MOI). Download the MOI from [www.udot.utah.gov/go/csmanuals](http://www.udot.utah.gov/go/csmanuals).

#### Conflict of Interest Disclosure Statement:

For all Environmental Impact Statement (EIS) and Environmental Assessment (EA) consultant selections, a Conflict of Interest Disclosure Statement will be required from each firm of the project team (prime and all sub-consultants). Consultants will be required to disclose any financial or other interest they may have in the outcome of the environmental document, in accordance with Council on Environmental Quality Regulation, 40 C.F.R. §1506.5(c) (1999). A copy of the signed Disclosure Statement will be included in the contract.

## Appendix A

### **Guidelines for Preparing a Modified Standard Statement of Qualifications**

#### Introduction:

These guidelines were developed to standardize the preparation of SOQs by Consultants for engineering services on a UDOT project. Submitting an SOQ is the beginning of the selection process and is used as the basis for selecting or for short-listing Consultants. If the RFQ Selection Team determines interviews are necessary prior to selection, a minimum of at least two Consultants will be short-listed and invited to an interview by the RFQ Selection Team.

The purpose for these guidelines is to assure consistency in format and content in the SOQ prepared by Consultants and submitted to UDOT. Preparing an SOQ instead of a detailed proposal reduces the time requirements for consultants and simplifies the review process for the RFQ Selection Team.

#### Electronic Submission:

UDOT's goal is to migrate to electronic processes wherever possible. Consultant Services intends to require all SOQ submissions to be received solely by electronic means.

#### Modified Standard SOQ Sections:

**The SOQ should contain the following sections in the order listed.**

##### First PDF

1. Cover Page
2. Project Team
3. Capability of the Consultant
4. Approach to the Project
5. Appendix B *Proposed Key Personnel to be Used on UDOT Project*

#### Modified Standard SOQ Evaluation Criteria:

The SOQ evaluation criteria are listed below in red.

#### **Cover Page**

The Cover Page is one page. It must be on the Prime Consultant's letterhead and consist of the following with no additional information:

**UTAH DEPARTMENT OF TRANSPORTATION**  
**Modified Standard Request for Qualifications**  
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Cover Page	
Date	
Modified Standard RFQ Name and Description	
Prime Firm	
Prime Firm's Federal ID#	
Sub-consultants (if any)	
Primary Contact	
Primary Contact Name (Prime)	
Address	
City, State, Zip	
Email	
Office Phone	
Cell Phone	
Secondary Contact	
Secondary Contact Name (Prime)	
Address	
City, State, Zip	
Email	
Office Phone	
Cell Phone	
Acknowledgement	
<p><i>I understand the acceptance and completion criteria, submittal, financial screening requirements, contract selection types and contract caps. My firm shall comply with all state and federal contracting requirements applicable to the project. I understand UDOT policies, procedures and processes may change during the duration of the project and shall comply with any changes required by UDOT. I have fully and accurately disclosed any debarment, license issues, and/or investigations being performed by any governmental entity. Employees listed on the staffing plan are current bona fide employees of the firm.</i></p> <p><i>As authorized to sign for my organization, I certify the content of this Statement of Qualification to be true, accurate and all matters fully disclosed as requested in the Request for Qualifications. I understand any misrepresentations or failure to disclose matters in the Statement of Qualifications is immediate grounds for disqualification.</i></p>	
Signature	
Name	
Title	

The information is not required to be in this exact format, as long as each item of requested information is presented, **with no additional information.** **SOQs will be**

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**considered non-responsive and will be disqualified if the Cover Page is not attached to the SOQ; if the Acknowledgement is not included on the Cover Page; and/or if there is additional information included on the Cover Page.**

**No evaluation points are assigned to this section and the Cover Page will not count as one of the allowed pages.**

**Project Team** – The RFQ Selection Team will evaluate how well the qualifications and experience of the proposed project team members relate to the specific project. The RFQ Selection Team recommends the following information be provided.

- Project Team flow charts including sub-consultants (see sample *Project Organization and Related Experience Chart* available on the UDOT web site [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms)).
- Describe the qualifications, experience, and availability of key personnel on your proposed project team. Correlate the qualifications and past experience with the Project Goals and Scope of Work identified in Appendix C *Scope of Work*. (NOTE: Do not include percentages of availability, as this may be misinterpreted as a reference to cost.)
- Provide a spreadsheet list of projects **completed** by key team members during the last ten years. The spreadsheet column headings should include the following items. (See sample *Project Organization and Related Experience Chart* available on the UDOT web site [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms).) Note: Columns may be combined in order to meet the font size and margin requirements under *Modified Standard SOQ Format Requirements* on Page 15.
  - Name of Project Manager / Key Team member(s)
  - Year
  - Type of Project
  - Project Name
  - Project Location
  - Project Description
  - Construction Estimate Cost - \$Million (If construction costs are not applicable, insert "NA")
  - Services Performed / Specific Project Role
  - Client
  - Reference Contact and Telephone Number

A maximum of 35 points is available for this section.

2. **Capability of the Consultant** – The RFQ Selection Team will evaluate the Consultant's capability to perform the work.

- Describe your firm's capability to perform the work.
- Describe any unique qualifications your firm has to perform this type of work.
- Describe your firm's internal quality and cost control procedures.

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- Describe your firm's experience with the specific type of work identified in Appendix C *Scope of Work*.
- Identify the location of the main office of the proposing firm and the logistics relating to how the project team will provide the services requested.
- Provide an analysis of the project team firms' current workload.
- Describe the overall performance record of the proposed project team firms.

A maximum of 15 points is available for this section.

3. **Approach to the Project** – The RFQ Selection Team will evaluate how well you have planned a basic course of action, what alternatives and/or preliminary approaches are proposed, and what provisions are identified for dealing with potential impacts:

- Describe the course of action proposed to meet the Project Goals and Scope of Work identified in Appendix C *Scope of Work*. Be realistic, clear and concise.
- Identify key project milestones.
- Identify potential impacts, impediments, conflicts or potential mitigation.

A maximum of 50 points is available for this section.

5. **Appendix B Proposed Key Personnel to be Used on UDOT Project** – The Consultant is expected to complete the Appendix B *Proposed Key Personnel to be Used on UDOT Project* (see example in this RFQ). Firms are not required to use this example form, as long as all necessary information is included in a form presented in the SOQ. The form must state the certification and education levels of the individuals proposed for use on this contract, including sub-consultants' personnel.

When Consultants list personnel on Appendix B *Proposed Key Personnel to be Used on UDOT Project* form, the Consultant is agreeing to make the personnel available to complete the services in the contract at whatever level the project requires.

**The completed form must be included in the SOQ, but will not count as one of the allowed pages. No other information is allowed on these pages. No evaluation points are assigned to this section.**

Modified Standard SOQ Format Requirements:

It is very important that SOQs be clear, concise, and in the recommended format so they may be evaluated in an objective manner by the RFQ Selection Team.

A maximum total of 100 points is available for the SOQ.

**One-point penalty deductions:**

1. **8-1/2" X 11" or 11" X 17" Page Sizes** – This requirement is addressed below in the list of Three-Point Penalty Deductions.



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- 2. One (1") Margins** – Exceptions: Consultant Name/Logo and Page Headers/Footers may be within the margin.
- 3. Font and Spacing Requirement** – The body of the SOQ is required to be written with a 10-point [or greater] standard Arial or Times New Roman font, including the Cover Page, Project Experience Table and Appendix B *Proposed Key Personnel to be Used on UDOT Project*. Exceptions will be made for section headings, paragraph headings, graphics, headers and footers. Excepted text may be any other font and size as long as the text is reasonable and can be easily read by reviewers without the need of magnification in order to understand what is being presented. The minimum line spacing is 12-point.
- 4. Charts, Graphs, and Pictures** – Optional and counted as page(s). If the graphic is a duplicate from another source, it must be referenced. Charts, graphs, headings, and headers/footers are excepted from the font requirements, see font requirement above.
- 5. Page Headers/Footers are required** – May be within the one-inch margins; and must include Project Number, Project Location/Description, and Current Date.
- 6. Related Experience Chart and Project Organization Chart are required** – Sample charts are available on the UDOT web site [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms).
- 7. Appendix B *Proposed Key Personnel to be Used on UDOT Project*** – The completed form is required and will not count towards the page maximum.

**A one-point penalty will be assessed by Consultant Services for each applicable violation of the above format requirements for a maximum seven-point penalty per SOQ.**

**Two-point penalty deductions:**

- 8. Send SOQs to the Contract Administrator** – Send SOQs to the Contract Administrator, do not send SOQs directly or indirectly to any known or presumed RFQ Selection Team members or other UDOT personnel, see instructions on Page 32.
- 9. PDF Submission** – SOQs are required to be submitted in PDF files. Unless specifically addressed in the RFQ, only one PDF will be accepted.

**A two-point penalty will be assessed by Consultant Services for each applicable violation of the above format requirement(s) for a maximum six-point penalty per SOQ.**

**Three-point penalty deductions:**

- 10. Seven (7)-Page Maximum** – The SOQ has a maximum page limit of seven pages.



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A page is defined as a single-sided 8-1/2" X 11" or 11" X 17" sheet that contains text, pictures, tables, graphs, charts, plan sheets or any other graphic. **There is a limit of up to one (1) 11" X 17" sheets.**

Do not include a reference or link to additional information. If SOQs contain references or links, UDOT Consultant Services will assume additional pages are used.

**Any Modified Standard SOQ that exceeds the <7>-page maximum will receive a three-point penalty per page over the limit.**

**Disqualification:**

- 11. Late Submission** – Any SOQ received by Consultant Services after the 11:00 AM deadline.
- 12. Electronic PDF Submission** – Any SOQ not received in the appropriate PDF format via email (containing all of the sections in the order presented in Modified Standard SOQ Sections on Page 12) to Devon Tonks at [dtonks@utah.gov](mailto:dtonks@utah.gov).
- 13. Cost Discussion** – Any SOQ received with any reference to costs. Cost discussions are not allowed (other than cost control measures). Cost control measures should not be quantified in dollar amounts, but rather in how the process improved the project. Refer to Page 7 for further details.
- 14. Cover Page** – Any SOQ received without a Cover Page, without the Acknowledgement on the Cover Page, and/or with additional information. No additional back page is allowed. Refer to Page 13 for further details.
- 15. Use of employees employed by another consultant** – Any SOQ received using employees currently employed by another consultant or presented as staff on two SOQs for the same advertisement. (This does not apply to a sub-consultant firm competing on one or more project teams.) Refer to Required Key Personnel Qualification on Page 8 for more information.
- 16. Use of UDOT staff** – Any SOQ received with current or former UDOT employees as part of the proposed Project Team who were involved in the development of the RFQ. Refer to Required Key Personnel Qualification on Page 8 for more information.
- 17. Financial Screening** – Any SOQ received from Consultants who are unable to complete the UDOT Financial Screening process within two weeks of selection. Refer to Financial Screening discussion on Page 9 for further details.
- 18. Other** – UDOT reserves the right to disqualify an SOQ when the intent of the RFQ process is violated.

**Any SOQs committing violations to the above format requirements will be disqualified by Consultant Services.**

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Modified Standard RFQ Selection Team:

The RFQ Selection Team members will receive copies of each responsive SOQ submitted. They will review and score the SOQs individually based on the evaluation criteria and submit their scores and comments to the Contract Administrator. The Contract Administrator will tally and compile the scores and comments.

The RFQ Selection Team will then meet to discuss the SOQs and comments from individual RFQ Selection Team members and determine whether interviews are necessary or whether the selection may be made based on the averaged scores from the SOQs. Final SOQ score results are determined from the average of voting RFQ Selection Team members' scores. Interviews occur when final averaged scores of the top-ranked firms have a small enough point deviation to continue a competitive selection process.

If the RFQ Selection Team determines it is necessary to have interviews in order to make a selection, the Selection Team will develop the format of the interviews in the RFQ Selection Team Meeting by completing the *Consultant Selection – Interview Format Worksheet*, found on the web site [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms).

Selection Interviews:

If the RFQ Selection Team determines interviews are necessary, the following project-specific topics may be some of the issues discussed.

- Understanding of the Work
- Approach to the Project
- Schedule Control
- Management of the Project

“Selecting by Consent” Process:

The final selection process during interviews will be performed using the “Selecting by Consent” (SBC) process developed by the Consultant Selection Interview Process Quality Improvement Team officially implemented August 12, 2004.

The SBC process is a scoring process that aids the RFQ Selection Team in developing final ranking through a collaborative process. In this process each segment and question of the interview is weighted in advance during the RFQ Selection Team Meeting. After the interviews are conducted, the RFQ Selection Team scores each segment and question by “consent”. Consent is defined as the willingness of all RFQ Selection Team members to accept a decision reached by a collaborative process. The final ranking is based on the final scores developed by the RFQ Selection Team using the *Consultant Selection - Interview Scores Example* found on the UDOT web site [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms). See the form for more information regarding this process.

Consultant Debriefing:

UDOT has a consultant debriefing process. As part of the SOQ evaluation, RFQ Selection Teams may provide constructive criticism of the SOQs submitted for this project. Debriefing information will be distributed after the execution of the contract resulting from this selection.

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Debriefing information consists of scores of the first-ranked firm's proposal/interview and the scores, strengths and weaknesses of the consultant's own proposal/interview.

The strengths identified in the highest-ranked firm's proposal/interview will be available for review in-person at the Consultant Services division, along with the selected firm's proposal, after the contract has been executed.

Consultants are offered the opportunity to meet with the Contract Administrator for a formal debriefing after distribution of the above information.

Summary:

The SOQ should be clear, concise, and it should provide the RFQ Selection Team Members with an understanding of the proposed Consultant Team's ability to undertake and complete the proposed project successfully in a thorough, efficient and timely manner.

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## Appendix B

### Proposed Key Personnel to Be Used On UDOT Project

Name	Firm Name	Proposed Role on Project	Certification Category/Level	Utah License/ Certification No.	Other State License/ Certification No.	Education Level

- Include all personnel proposed to work on this UDOT project, including sub-consultants. Add additional pages if needed.
- If the Project Team has a change in key personnel during the selection or negotiation process, the Consultant is required to submit notification in writing immediately to the UDOT Project Manager and the Consultant Services Administrator. If the Project Team has a change in **any** personnel after Notice to Proceed on a contract, the Consultant is required to immediately request a modification to the contract or a CMS Alternative Staff transaction. If UDOT does not approve the change, UDOT may request a revision to the proposal, revisit the selection process, score the Consultant lower on the Consultant Project Evaluation, or terminate the contract.
- The Form and an example of the completed form are available on the UDOT Website [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms).

## Appendix C

### A. PROJECT GOALS

The Federal Highway Administration and Utah Department of Transportation intend to prepare an Environmental Impact Statement (EIS) on SR-30 between SR-23 and SR-252 (10th West in Logan). This analysis will assess the needs of SR-30 in this area, develop possible solutions and evaluate their relevant environmental impacts.

#### Project Goals

UDOT goals for the project are to

- Conduct a thorough, objective, and technically sound environmental study to identify the long term needs of the corridor.
- Evaluate solutions that will accommodate those needs in a context-sensitive transportation solution that:
  - addresses the transportation need,
  - is an asset to the community,
  - is compatible with the natural and built environment.
- Engage all project stakeholders in a pro-active and cooperative manner to solicit feedback, resolve concerns, and build consensus throughout the environmental study process.
- Provide comprehensive, accurate, and well-organized documentation of the environmental process.

#### Project Specific Items

This will be a phased contract to help to ensure a collaborative process is undertaken, and stakeholders have a chance to learn and inform the process.

#### Phase 1

Phase 1 will consist of furthering the corridor study which has been completed and sharing the results with stakeholders and educating them on the findings. This will allow the project team to better understand the context, and allow the stakeholders to share their thoughts. Outreach and coordination will ensure a transparent process and will better inform the scope of the EIS.

- ~~This will include city council presentations, meetings with elected officials, and meetings with other stakeholders. The Consultant will need to review and become familiar with the findings of the previously completed SR-30 corridor study. The results of this study will be shared with stakeholders as part of the public involvement process.~~

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**Phase 2**

**Work Tasks**

UDOT is open to a variety of approaches for completing/implementing each task required for the completion of the EIS. The majority of tasks are listed below; additional tasks may be required. Each of the EIS task will be completed as defined in UDOT's Environmental Document Process (Oct. 2012) and UDOT Environmental Process Manual of Instruction. The conclusion of each of the major tasks is associated with a deliverable item. Payment for the task will be connected to completion of the deliverable.

- *05E Public Involvement-* The Consultant will provide the public involvement services necessary to communicate the scope, needs, goals, objectives, alternatives, impacts and alternatives to the public. The appropriate approach will include coordination with a variety of stakeholders, including: Cache Metropolitan Planning Organization (CMPO), local governments, resource agencies, the public, and local and national interest groups. This task requires the development of a Public Involvement Plan (implemented in Task 07E).
- *13E Conduct NEPA Scoping:* The Consultant will assist UDOT with conducting official scoping for the EIS. NEPA scoping will present the project area, preliminary needs, and issues of concern to stakeholders, as well as solicit information on additional needs, alternatives to consider, and other issues of concern in the project area.
- *17E Define Project's Purpose and Need:* The Consultant will help UDOT define the study area's traffic needs through the collection of existing transportation plans and models, local land-use plans, and the development of traffic models as well as consider the recommendations from the SR-30 Corridor Study; UDOT long range plan; and recent and future development along SR-30. The Consultant should develop design year and no-build travel demand forecasts and develop baseline conditions (including obtaining traffic counts and determine existing capacity/LOS). A list of preliminary needs will be presented in NEPA Scoping. The Consultant will prepare a draft purpose and need statement for the project (Chapter 1). Consultant duties may include solicitation and response to comments from FHWA and other stakeholders on the draft.
- *19E Identification and Initial Development of Alternatives:* The Consultant will identify a range of initial alternatives for consideration. This will include, but is not limited to, any alternatives proposed during NEPA Scoping (Task 13E). The Consultant and UDOT will develop an alternatives screening methodology and establish screening criteria. The screening criteria will be based upon items such as the project's purpose and need, engineering practicability, and the environmental resources identified in Task 21E. The Consultant will screen the alternatives according to the methodology and screening criteria. Once alternatives are screened, the Consultant will identify the data needs to perform

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impacts analysis for those alternatives being carried forward for analysis. Data needs will be determined in part by UDOT guidance; FHWA guidance, regulation, and policy; issues identified in scoping; and any other issues relevant to the alternatives to be advanced for detailed study. UDOT and the Consultant will determine what resource data exists and what data needs to be acquired.

- *21E Identify Affected Environment Resources:* The Consultant will identify potentially affected environment resources. Some environmental resources may have a study area that is larger than the project area; the Consultant will help UDOT define the appropriate environmental resource study area.
- *23E Determine Impacts and Analyze Resources:* The Consultant will collect appropriate data and perform resource impact analyses for the alternatives that are to be studied in detail.
- *25E Section 4(f) Analysis:* The Consultant will prepare the appropriate level of Section 4(f) analysis. If an Individual evaluation is required, the Consultant will perform a least overall harm analysis of the alternatives carried forward for detailed analysis and prepare a report to be included in the EIS.
- *39E Complete Public Comment Period:* The Consultant will assist UDOT in conducting a public hearing.
- *Prepare Draft and Final Documents:* The Consultant will prepare, revise, and release a draft and final document consistent with UDOT and FHWA guidelines. As part of this document process the consultant will be responsible for compiling and responding to comments on the draft document. (Tasks *29E Prepare Draft Document*; *35E Revise and Release Draft Document*; *41E Compile, Evaluate, and Respond to Public and Agency Comments*; *43E Prepare Final Document*; *49E Revise and Release Final Document*).
- *53E Prepare and Submit EIS Decision Document:* The Consultant will prepare the final EIS and Decision Document for UDOT and FHWA review.
- *55E Develop and Maintain Project File:* The Consultant is expected to develop and maintain a project file and system to be used throughout the environmental process.

**Assumptions**

1. UDOT will hire an attorney through a separate contract to provide the following services, as needed:
  - Provide guidance for the project file/administrative record.
  - Provide guidance on environmental issues, including: defining purpose and need and establishing logical termini; defining a range of alternatives;

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reviewing alternatives analysis and selection of a preferred alternative; and reviewing Section 4(f) analysis.

- Provide miscellaneous legal counsel.
2. Consultant will provide Public Involvement (PI) staff or sub-consultant PI staff. The duties of the PI lead may include but are not limited to:
- Designing and implementing a PI Plan.
  - Conducting the full range of PI activities, including processes required by NEPA.
  - Assisting with the preparation of presentations for stakeholders, the public, and the media.
  - Coordinating stakeholder and Local Government outreach.
  - The PI consultant will coordinate with the Region One Communications Manager regarding involvement of, and releases to affected traditional and social media.

The Consultant will accomplish all work tasks listed above and will be responsible for preparing, presenting, and publishing the appropriate components of the environmental document. All materials, including but not limited to, documents, databases, GIS layers, etc., will be delivered to UDOT and become the property of UDOT at the conclusion of each phase. The Consultant will present project progress and findings to UDOT staff as needed throughout the project.

Consultants are encouraged in their SOQ's to focus on their approach to meet the project goals and needs as described above, rather than in-depth discussion of project issues or proposed solutions. UDOT strongly discourages Consultants from contacting project stakeholders during this SOQ development process.

All reference measurements shall be reported in English units. The design should be to current UDOT and AASHTO design standards. All documents pertaining to this project will be considered part of the permanent document control record.



## Appendix D

### Additional Information

#### QC/QA Plan Requirements:

- The Consultant will prepare, distribute, and implement the Quality Control/Quality Assurance Plan for the project. UDOT has adopted QC/QA standards and the Consultant must meet or exceed these requirements. The Standard for Design is available on the UDOT Web site [www.udot.utah.gov/go/qcqa](http://www.udot.utah.gov/go/qcqa)
- Document Control: All documents will be maintained in both an electronic and hard copy form. Each document will have a uniquely specific location in both electronic and hard copy formats.

#### UDOT Reference Items:

- UDOT CADD use and information is available on-line from the UDOT web site at [www.udot.utah.gov/go/ETS](http://www.udot.utah.gov/go/ETS).
- UDOT Construction Manual of Instruction is available online at the UDOT web site [www.udot.utah.gov/go/Manuals](http://www.udot.utah.gov/go/Manuals).
- UDOT Consultant Services Manual of Instruction is available on-line at the UDOT web site [www.udot.utah.gov/go/CSManuals](http://www.udot.utah.gov/go/CSManuals).
- UDOT Drainage Manual of Instruction is available on-line from the UDOT web site at [www.udot.utah.gov/go/Manuals](http://www.udot.utah.gov/go/Manuals).
- UDOT Environmental Process Manual of Instruction is available on-line from the UDOT web site at [www.udot.utah.gov/go/Manuals](http://www.udot.utah.gov/go/Manuals).
- Other UDOT manuals are available on-line from the UDOT web site at [www.udot.utah.gov/go/Manuals](http://www.udot.utah.gov/go/Manuals).
- UDOT Project Delivery Networks is available on-line from the UDOT web site at [www.udot.utah.gov/go/ProjectManagement](http://www.udot.utah.gov/go/ProjectManagement).
- UDOT ProjectWise use and information is available on-line from the UDOT web site at [www.udot.utah.gov/go/ETS](http://www.udot.utah.gov/go/ETS).
- UDOT Reference Material is available on-line from the UDOT web site at [www.udot.utah.gov/go/StandardsReferences](http://www.udot.utah.gov/go/StandardsReferences).

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- UDOT Right of Way Design and Operations Manuals are available on-line from the UDOT Web site at [www.udot.utah.gov/go/Manuals](http://www.udot.utah.gov/go/Manuals).
- UDOT Roadway Design Manual of Instruction is available on-line from the UDOT web site at [www.udot.utah.gov/go/Manuals](http://www.udot.utah.gov/go/Manuals).
- UDOT Standards are available on-line from the UDOT web site at [www.udot.utah.gov/go/2012Standards](http://www.udot.utah.gov/go/2012Standards).
- UDOT 2015 Strategic Direction & Performance Measures are available on-line from the UDOT web site at [www.udot.utah.gov/go/StrategicDirection](http://www.udot.utah.gov/go/StrategicDirection).
- UDOT Structures Design and Detailing Manual and the Bridge Management Manual are available on-line from the UDOT web site at [www.udot.utah.gov/go/STRManuals](http://www.udot.utah.gov/go/STRManuals)).
- UDOT Traffic and Safety Highway Sign Policies and Manuals are available on-line from the UDOT web site at [www.udot.utah.gov/go/HighwaySignPolicy](http://www.udot.utah.gov/go/HighwaySignPolicy).
- State of Utah Web Standards and Guidelines are available on-line from the web site at <http://www.utahta.wikispaces.net/Application+Architecture>.

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The Brooks Act of 1972:  
Federal Government Selection of Architects and Engineers

***United States Code (U.S.C.) Title 40 - Public Buildings, Property and Works***

**Chapter 11, Section 1101 - 1104: Selection of Architects and Engineers**

**§ 1101. Policy** (Formerly 40 U.S.C. § 541)

The policy [of the Federal Government] is to publicly announce all requirements for architectural and engineering services and to negotiate contracts for architectural and engineering services on the basis of demonstrated competence and qualification for the type of professional services required and at fair and reasonable prices.

**§ 1102. Definitions** (Formerly 40 U.S.C. § 542)

In this chapter, the following definitions apply:

1. **Agency head.**- - The term "agency head" means the head of a department, agency, or bureau [of the Federal Government].
2. **Architectural and engineering services.**- - The term "architectural and engineering services" means- -
  - A. professional services of an architectural or engineering nature, as defined by state law, if applicable, that are required to be performed or approved by a person licensed, registered, or certified to provide the services described in this paragraph;
  - B. professional services of an architectural or engineering nature performed by contract that are associated with research, planning, development, design, construction, alteration, or repair of real property; and
  - C. other professional services of an architectural or engineering nature, or incidental services, which members of the architectural and engineering professions (and individuals in their employ) may logically or justifiably perform, including studies, investigations, surveying and mapping, tests, evaluations, consultations, comprehensive planning, program management, conceptual designs, plans and specifications, value engineering, construction phase services, soils engineering, drawing reviews, preparation of operating and maintenance manuals, and other related services.
3. **Firm.**- - The term "firm" means an individual, firm, partnership, corporation, association, or other legal entity permitted by law to practice the profession of architecture or engineering.

**§ 1103. Selection procedure** (Formerly 40 U.S.C. § 543)

- a. **In general.**- - These procedures apply to the procurement of architectural and engineering services by an agency head.
- b. **Annual statements.**- - The agency head shall encourage firms to submit annually a statement of qualifications and performance data.
- c. **Evaluation.**- - For each proposed project, the agency head shall evaluate current statements of qualifications and performance data on file with the agency, together with statements submitted by other firms regarding the proposed project. The agency head shall conduct discussions with at least 3 firms to consider anticipated concepts and compare alternative methods for furnishing services.
- d. **Selection.**- - From the firms with which discussions have been conducted, the agency head shall select, in order of preference, at least 3 firms that the agency head considers most highly qualified to provide the services required. Selection shall be based on criteria established and published by the agency head.

**§ 1104. Negotiation of contract** (Formerly 40 U.S.C. § 544)

- a. **In general.**- - The agency head shall negotiate a contract for architectural and engineering services at compensation which the agency head determines is fair and reasonable to the Federal Government. In determining fair and reasonable compensation, the agency head shall consider the scope, complexity, professional nature, and estimated value of the services to be rendered.
- b. **Order of negotiation.**- - The agency head shall attempt to negotiate a contract, as provided in subsection (a), with the most highly qualified firm selected under [section 1103](#) of this title. If the agency head is unable to negotiate a satisfactory contract with the firm, the agency head shall formally terminate negotiations and then undertake negotiations with the next most qualified of the selected firms, continuing the process until an agreement is reached. If the agency head is unable to negotiate a satisfactory contract with any of the selected firms, the agency head shall select additional firms in order of their competence and qualification and continue negotiations in accordance with this section until an agreement is reached.